

PROGRAM SOLICITATION
Number 83
Small Business
Innovation Research
Program

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SBIR Program Office
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DOD PROGRAM SOLICITATION FOR SMALL BUSINESS INNOVATION RESEARCH

1.0 PROGRAM DESCRIPTION

1.1 Introduction

The Department of Defense (DOD) and its Components (Army, Navy, Air Force, Defense Advanced Research Project Agency (DARPA), and Defense Nuclear Agency (DNA). (Hereafter referred to as DOD Components) invite small business firms to submit proposals under this program solicitation entitled Small Business Innovation Research (SBIR). Firms with strong research and development capabilities in science or engineering in any of the topic areas described in Appendix D are encouraged to participate. DOD and its Components will support high quality research and development proposals on innovative concepts related to important defense-related scientific or engineering problems and opportunities that could lead to significant public benefit if the research is successful.

Objectives of the solicitation include stimulating technological innovation in the private sector, strengthening the role of small business in meeting Federal research and development needs, fostering and encouraging participation in minority and disadvantaged persons in technological innovation, increasing the commercial application of DOD-supported research results, and improving the return on investment from Federally funded research for economic and social benefits to the Nation.

1.2 Three Phase Program

This program solicitation is issued pursuant to the Small Business Innovation Development Act of 1982, public law 97-219. Under Phase I, DOD Components anticipate making awards during fiscal year 1983 to small businesses typically of the order of one-half to one (1) man-year effort over a period generally not to exceed six (6) months, subject to negotiation. Phase I is to determine, insofar as possible, the scientific or technical merit and feasibility of ideas submitted under the SBIR programs. The proposal should concentrate on that research or development which will significantly contribute to proving the scientific or technical feasibility of the approach or concept and which would be a prerequisite to further DOD support in Phase II.

Phase II awards are expected to be made during fiscal year 1984 to firms with approaches that appear sufficiently promising as a result of the first phase. Phase II awards are expected to typically cover 2 to 5 man-years of effort and to cover a period generally not to exceed 24 months, subject to negotiation. The number of Phase II awards will depend upon Phase I results and availability of funds. Phase II is the principal research or development effort; it will require a more comprehensive proposal, outlining the proposed effort in detail.

Under Phase III it is intended that non-Federal capital be used by the small business to pursue commercial applications of the research or development. Also, under Phase III, Federal agencies may award non-SBIR funded follow-on contracts for products or processes, which meet the mission needs of those agencies. Both Phase I and II contracts may include a profit or fee. This solicitation is for Phase I proposals only.

1.3 Follow-on Funding

In addition to supporting scientific and engineering research and development, another important goal of the solicitation is the conversion of DOD supported research of development into technological innovation by private firms. Therefore, on an optional basis, the DOD program includes an incentive for proposers to obtain a contingent commitment for private follow-on funding prior to Phase II to continue the innovation process where it is felt that the research or development meeting DOD objectives (Phases I and II); private capital provides for follow-on developmental funding to meet commercial objectives (Phase III).

Proposers who feel that their research has the potential to meet market needs, in addition to meeting the DOD objectives, are encouraged to obtain non-Federal follow-on funding to pursue the development phase. The commitment should be obtained during the course of Phase I performance. This commitment may be contingent on the DOD supported research or development meeting some specific technical objectives in Phase II which, if met, would justify non-Federal funding to pursue further development for commercial purposes in Phase III. Phase II proposals that provide such a commitment for follow-on funding will receive extra consideration during the evaluation process.

The recipient will be permitted to obtain commercial rights to any invention made in either Phase, subject to the patent policies as stated in this solicitation.

1.4 Eligibility and Limitations

Each proposal must be limited to only one topic listed in this solicitation. When a proposal has relevance to more than one topic, the proposer must decide which topic is the most relevant and submit it under that topic only. However, a proposals on the same topic under this solicitation. If a proposal substantially the same as the one submitted in response to this solicitation has been previously funded or is either funded by, pending with, or about to be submitted to another Federal agency or another DOD Component as a separate action, the proposer must so indicate and provide the information required by Section 4.4 (12).

This solicitation does not obligate the DOD to make any awards under either Phase I or Phase II. The DOD is not responsible for any monies expended by the proposer before award of any contract.

Each proposer must qualify as a small business for research or development purposes as defined in section 2.2. In addition, minimum of two-thirds of each SBIR project must be carried out by the proposing firm unless otherwise approved by the contracting officer.

Because of the scope and diversity of needs, availability of funds may (and probably will) preclude funding proposals, which are nevertheless technically acceptable in some topical areas.

Joint ventures are permitted, provided the entity created qualifies as a small business in accordance with the Small Business Act, 15 USC 631, and the definition included in this solicitation.

2.0 Definitions

The following definitions apply for purposes of this solicitation:

2.1 Research or Research Development

Any activity which is (A) a systematic, intensive study directed toward greater knowledge or understanding of the subject studied; (B) a systematic study directed specifically toward applying new knowledge to meet a recognized need; or (C) a systematic application of knowledge toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements. In DOD's R&D Program the definitions A, B, and C above correspond respectively as follows: (A) Basic Research, (B) Exploratory Development and (C) Advanced Development or Engineering Development.

2.2 Small Business

A business concern, including its affiliates, which is organized for profit, is independently owned and operated, and at the time of award:

- (1) Meet the size criteria for research and development of 500 employees or less and other regulatory requirements of 13 Code of Federal Regulations (CFR), Part 121.3-8 of Small Business Administration (SBA), Rules and Regulations, and Defense Acquisition Regulation (DAR).
- (2) The primary employment of the principal investigator must be with the small business firm at the time of award and during the conduct of the proposed effort unless otherwise approved in writing by the contracting officer. Primary employment means that more than one-half of the principal investigator's time is spent with the small business.

2.3 Minority and Disadvantaged Business

A concern that is:

- (1) At least 51% owned by one or more minority and disadvantaged individuals; or, in the case of any publicly owned business, at least 51% of the stock which is owned by one or more minority and disadvantaged individuals; and
- (2) Whose management and daily business operations are controlled by one or more of such individuals.

A minority and disadvantaged individual is defined as a member of any of the following groups: Black Americans; Hispanic Americans; Native Americans; Asian-Pacific Americans; or Asian-Indian Americans.

Attention will be given to a special outreach effort to ensure that minority and disadvantaged firms will have notice of this solicitation.

3.0 TECHNICAL NOTES

3.1 Topic List

Topics for each DOD Component are listed and numbered separately. Topics and topic descriptions are provided in Appendix D.

4.0 PROPOSAL PREPARATION INSTRUCTIONS AND REQUIREMENTS

4.1 Proposal requirements

The purpose of a proposal to DOD Components under the SBIR program is to provide sufficient information to persuade the DOD Component that the proposed work represents a sound approach to the investigation of an important scientific or engineering problem and is worthy of support under the stated criteria.

A proposal should be self-contained and written with care and thoroughness. Each proposal should be reviewed carefully by the applicant to ensure inclusion of data essential to evaluation.

The scientific or technical merit of the proposed research and development is the primary concern for all research and development supported by the DOD. A proposal may respond to any of the topics listed in Appendix D, or to specific subtopic areas within them, but must be limited to one topic or subtopic. An organization may submit separate proposals on different topics or different proposals on the same topic under this solicitation. Where similar research and development is discussed under more than one topic, the proposer should choose that topic whose description appears most relevant to the proposer's technical concept.

The quality of the scientific or technical content of the proposal will be the principle basis upon which proposals will be evaluated.

The proposed research or development must be responsive to the DOD program objectives, but can also serve as the base for technological innovations, new commercial projects, processes, or services which benefit the public.

4.2 Proprietary Information

If information is provided which constitutes a trade secret, proprietary, commercial or financial information, confidential personal information, or data affecting the national security, it will be treated in confidence to the extent permitted by law, provided it is clearly marked in accordance with section 6.7

4.3 General Content

This solicitation is designed to reduce the investment of time and cost to small firms in preparing a formal proposal. Those who wish to respond should submit a research or development proposal of no more than 20 pages, (no type smaller than elite on standard 8 ½" by 11" paper) not counting the cost proposal. The proposal should be direct, concise, and informative. Promotional and non-project-related discussion is discouraged. To meet DOD Component requirements, all items are to be covered fully and in the order set forth below, but the space allocated to each will depend on the problem chosen and the principal investigator's approach. In the interest of equity to all proposers all information, except for the cost proposal, must be included in the 20 pages with no additional attachments.

It is not necessary to provide the lengthy discourse on the commercial applications in the phase I proposal except to discuss them briefly under section 4.4, items 3 and 4, as appropriate. The proposal must be principally directed at research or development on the specific topic or subtopic chosen.

4.4 Phase I Proposal Format

- (1) Cover Sheet- Photocopy and complete the form in Appendix A as page 1 of each copy of each proposal. All pages shall be consecutively numbered.
- (2) Project Summary – Photocopy and complete the form identified as appendix B as page 2 of your proposal. The technical abstract should include a brief description of the problem or opportunity, project objectives, description of the effort and anticipated benefits. Potential applications of the proposed research or development should also be summarized in the space provided. The Project Summary of successful prospers may be published by the DOD and therefore, should not contain proprietary or classified information.

- (3) Identification and significance of the Problem or Opportunity – Define the specific technical problem or opportunity addressed and its importance. (Begin on page 3 of your proposal.)
- (4) Background , Technical Approach and Anticipated Benefits
 - a. Indicate the overall background and technical approach to the problem or opportunity and the part that the proposed research or development plays in providing needed results.
 - b. State the anticipated benefits of the approach if the project is successful and is carried over into Phases II and III. This should address the importance of the research or development to the total DOD research and development effort.
 - c. Discuss the significance of the Phase I effort in providing a foundation for Phase II research or developmental effort.
- (5) Phase I Technical Objectives – Enumerate the specific objectives of the Phase I work, including the questions it will try to answer to determine the feasibility of the proposed approach.
- (6) Phase I Work Plan – This section must provide an explicit, detailed description of the phase I approach. The plan should indicate not only what is planned but how the work will be carried out. Phase I effort should attempt to determine the technical feasibility of the proposed concept.

The work plan should be linked with the objectives and the questions the phase I effort is designed to answer. The methods planned to achieve each objective or task should be discussed explicitly and in detail. This section should be a substantial portion of the total proposal.

- (7) Phase I Statement of Work – The Statement of Work must summarize items 5 and 6 above very briefly stating the principal project objective(s), identifying the tasks to be performed and the performance schedule, where appropriate. It should also identify the deliverable which for Phase I will just one item, the Financial Report.
- (8) Facilities/ Equipment – Describe available instrumentation and physical facilities necessary to carry out the Phase I effort. Items of equipment to be purchased (as detailed in Appendix C) shall be justified under this Section.
- (9) Consultations – Involvement of university or other consultations in the planning and/ or research stages of the project may be appropriate. If such involvement is intended, it should be described in detail and included in Appendix C (if appropriate). For the Phase I, the total of all consultant fees, facility leases or usage fees and other subcontract or purchase agreements may not exceed 33% of the total funding agreement, unless otherwise approved in writing by the contracting officer.
- (10) Related Work – Describe significant activities directly related to the proposed effort, including any conducted by the principal investigator, by the proposing firm, consultants, or others how it interfaces with the proposed project, and any planned coordination with outside sources. The proposal must persuade reviewers of the proposer's awareness of the state-of-the-art in the specific topic.
- (11) Key Personnel – Identify key personnel who will be involved in Phase I effort including information on directly related education and experience. A resume of the principal investigator, including a list of publications (if any), must be included.
- (12) Current and Pending Support- If a proposal substantially the same as the one submitted in response to this solicitation has been previously funded or is either funded by, pending with, or about to be submitted to another federal agency, or another DOD Component or to the same DOD Component in a separate action , proposer must provide the following information:
 - a. The name and address of the agency(s) or DOD Component to which a proposal was submitted, or from which an award is expected or has been received (include contract number).
 - b. Date of proposal submission or date of award.
 - c. Title of Proposal.
 - d. Name and title of principal investigator for each proposal submitted or award received.
 - e. Title, number, and date of SBIR Program Solicitations under which the proposal was submitted or award received.
- (13) Cost Proposal – complete the cost proposal in the form of Appendix C for the Phase I effort only. Under the direct labor category, list all key personnel by name as well as by number of hours dedicated to the project. The cost portion of the proposal must be stapled together with the rest of the proposal, but may be in addition to the 20- page proposal limitation.

4.5 Other Information

- Bindings – Please do not use special bindings or covers. Staple the pages in the upper left hand corner of each proposal.
- Packaging- All 10 copies of a proposal must be sent in the same package.

5.0 METHOD OF SELECTION AND EVALUATION CRITERIA

5.1 Introduction

Phase I proposals will be evaluated on a competitive basis. Proposal meeting stated solicitation requirements will be evaluated by scientists or engineers knowledgeable in the topic area. Proposals will be evaluated first on their relevance to the chosen topic. Those found to be relevant will then be evaluated using the criteria listed in section 5.2. Final decisions will be made by the DOD Component based upon these criteria and consideration of other factors, including possible duplication of other research, and program balance. A DOD Component may elect to fund several or none of the proposed approaches to the same topic. In the evaluation and handling of proposals, every effort will be made to protect the confidentiality of the proposal, and any evaluations. There is no commitment by the DOD Components to make any awards on any topic, to make a specific number of awards or to be responsible for any monies expended by the proposer before award of a contract.

For proposals that have been determined to be in the competitive range, a government contracting officer will draw up an appropriate contract to be signed by both parties before work begins. Any negotiations that may be necessary will be conducted between the offeror and the government contracting officer. It should be noted that only a duly appointed contracting officer has the authority to enter into a contract on behalf of the U.S. Government.

Phase II proposals will be subject to a technical review process similar to Phase I. Final decisions will be made by DOD Components based upon the scientific and technical evaluations and other factors, including a commitment for Phase III follow-on funding, the possible duplication with other research, program balance, and budget limitations.

5.2 Evaluation Criteria – Phase I

The DOD components plan to select for award those proposals offering the best value to the government with approximately equal consideration given to each of the following criteria, except for number one, which will receive twice the value of any other item:

- (1) The scientific /technical quality of the Phase I research proposal and its relevance to the proposals stated objectives, with special emphasis on its innovation and originality.
- (2) Qualifications of the principal investigator, other key staff, and consultations, if any, and the adequacy of available or obtainable instrumentation and facilities.
- (3) Anticipated benefits of the research of development to the total DOD research and development effort.
- (4) Adequacy of the Phase I proposed effort to show progress toward providing the feasibility of the concept.

Where technical evaluations are essentially equal in merit, cost to the government will be considered in determining the successful offeror.

Technical reviewers will base their conclusions only on information contained in the proposal. It cannot be assumed that reviewers are acquainted with the firm or key individuals or any referred-to experiments. Relevant supporting data such as journal articles, literature, including government publications, etc., should be identified in the proposal.

5.3 Evaluation Criteria – Phase II

Detailed instructions regarding Phase II proposal will be sent by DOD Components to all Phase I award winners. Listed below are some of the principles upon which those instructions can be expected to be based.

A Phase II professional can be submitted only by a Phase I awardee. It can be submitted at any time when progress attained under Phase II. It must contain enough information on progress attained under Phase I is deemed sufficient to justify the effort to be proposed under Phase II. It must contain enough information on progress accomplished under Phase I by the time of Phase II proposal submission to enable an evaluation of the project's promise if continued into Phase II. The Phase II proposal will be reviewed for overall merit based upon the criteria below. Each item will receive approximately equal weight, except for item one, which will receive twice the value of any other item:

- (1) The scientific/technical quality of the proposal, with special emphasis on its innovation and originality.
- (2) The qualifications of the principal investigator and other key personnel to carry out the proposed work.
- (3) Anticipated benefits to the importance of the research or development to the total DOD research and development effort.
- (4) Degree to which the Phase I objectives were met at the time of Phase II proposal submission.
- (5) The adequacy of the Phase II objectives to meet the problem or opportunity.

Phase II proposal evaluations may include on-site evaluations by Government personnel of the Phase I effort.

The reasonableness of the proposed cost of the effort to be performed will be examined to determine those proposals that offer the best value to the Government.

In the case of proposals of approximately equal merit, the provision of a follow-on Phase III funding commitment for continued development from non-Federal funding sources will be a special consideration. The follow-on funding commitment must provide that a specific amount of Phase III funds will be made available to or by the small business and indicate the dates the funds will be made available. It must also contain specific technical objectives which, if achieved in Phase II, will make the commitment exercisable by the small business. The terms cannot be contingent upon the obtaining of a patent due to the length of time this process requires. The commitment shall be submitted with the Phase II proposal.

6.0 CONSIDERATIONS

6.1 Awards

No contracts will be awarded until all qualified proposals on a specific topic have been evaluated. Contract awards for Phase I are expected to be made no later than September 30, 1983. DOD components will announce the names of those firms receiving awards.

It is anticipated that a reasonable number of the Phase I awardees will receive Phase II awards, depending upon the results of the Phase I efforts and the availability of funds. Phase II is to further develop ideas explored under Phase I. Specific instructions for the preparation of Phase II proposals will be sent to Phase I awardees by the DOD Components. Those Phase II proposers who wish to maintain project continuity must submit proposals no later than 30 days prior to the expiration date of the Phase I contract and should identify in their proposal the work to be performed for the first four months of the Phase II work and the costs associated therewith.

Phase II proposers may be issued a modification to the Phase I contract, which may be issued at the discretion of the Government, covering an interim period not to exceed four months for preliminary Phase II work while the total Phase II proposal is being evaluated. This modification would normally become effective at the completion of Phase I or as soon thereafter as possible. Funding, scope work, and length of performance for this interim period will be subject to negotiations. Issuance of a contract modification for the interim period does not commit the Government to award Phase II contract.

Offerors for Phase II work who do not elect to submit a proposal 30 days prior to the expiration date of the Phase I contract, have the option to submit a proposal after the completion of the Phase I contract. The final date for receipt of a Phase II proposal will be June 30, 1984.

The period of performance under Phase II will depend upon the scope of the effort, but generally will not exceed 24 months. Phase II award decisions will be based upon evaluation of progress attained under Phase I and of the Phase II proposal. Phase II awards will typically cover 2 to 5 man-years effort, depending upon the scope of research or development.

Prior to Phase II, the DOD Component's Contracting Officer may request certain organizational, management and financial information for administrative purposes to assure that the applicant adheres to certain standards applicable to the type of contract contemplated.

6.2 Reports

Six copies of a final report on the Phase I project must be submitted to the DOD Component in accordance with the negotiated deliver schedule. This will normally be within thirty days after completion of the Phase I effort. The final report shall include a single-page project summary as the first page (use form, Appendix B) identifying the purpose of the work, a brief description of the work carried out, the findings or results, and potential applications of the effort in a final paragraph. The summary may be published by DOD and therefore should not contain proprietary or classified information. The balance of the report should indicate in detail the project objectives, work carried out, results obtained, and estimates of technical feasibility.

To avoid duplication of effort, language used to report Phase I progress in a Phase II proposal, if submitted, may be used verbatim in the final report with changes only to accommodate results obtained after Phase II proposal submission, and modifications required to integrate the final report into self-contained, comprehensive and logically structured document.

6.3 Payment Schedule

Payments will be made in accordance with a payment schedule agreed to by the Contracting Officer. Requests for progress payments or advance payments based upon demonstrated need will be considered. The offeror shall include his cash flow requirements as part of the cost proposal submission for Phase I.

6.4 Technical Data

Rights in technical data, including software, developed under the terms of any contract resulting from proposals submitted in response to this solicitation shall remain with the contractor, except that the Government shall have the limited right to use such data for Government purposes and shall not release such data outside the Government without permission of the contractor for a period of two years from completion of the project from which the data was generated unless the data has already been released to the general public. However, effective at the conclusion of the two-year period, the Government shall retain a royalty-free license for Government use of any technical data delivered under an SBIR funding agreement whether patented or not.

6.5 Copyrights

With prior written permission of the contracting officer, the awardee normally may copyright (consistent with appropriate national security considerations, if any) material developed with DOD support. DOD receives a royalty-free license for the Federal Government and requires that each publication contain an appropriate acknowledgement and disclaimer statement.

6.6 Patents

Small business firms normally may retain the principal worldwide patent rights to any invention developed with Government support. The Government receives a royalty-free license others in certain limited circumstances, and requires that anyone exclusively licensed to sell the invention in the United States must normally manufacture it domestically. To the extent authorized by 35 USC 205, the Government will not make public any information disclosing a Government-supported invention for a two-year period to allow the awardee a reasonable time to pursue a patent.

6.7 Markings and Treatment of Proposal Information

The proposal submitted in response to this solicitation may contain technical data and other data, including trade secrets and/or privileged or confidential commercial or financial information, which the proposer does not want disclosed to the public or used by the Government for any purpose other than proposal evaluation. To protect such data the proposer should type at the bottom of the cover page of his proposal and the following notice.

The data submitted on pages _____ of this proposal have been submitted in confidence and contain trade secrets and/or privileged or confidential commercial or financial information, and such data shall be used or disclosed only for evaluation purposes, provided that if a contract is awarded to this proposer as a result of or in connection with the submission of this proposal, the Government shall have the right to use or disclose the data herein to the extent provided in the contract. This restriction does not limit the Government's right to use or disclose data obtained without restriction from any source, including the proposer.

In addition, each page of the proposal containing proprietary data which the proposer wishes to restrict must be marked with the following legend:

“Use or disclosure of the proposal data on lines specifically identified by asterisk (*) are subject to the restriction on the cover of this proposal.”

Those proposers that have classified facility clearance may submit classified material with their proposal. Any classified material shall be marked and handled in accordance with applicable regulations. Arbitrary and unwarranted use of this restriction is discouraged. Offerors must follow unwarranted use of this restriction is discouraged. Offerors must follow the Industrial Security Manual for Safeguarding Classified Information (DOD 5220.22M) procedures for marking and handling classified material.

The Government assumes no liability for disclosure or use of unmarked data and may use or disclose such data for any purpose.

In the event properly marked data contained in a proposal in response to this solicitation is requested pursuant to the Freedom of Information Act 5 USC 552, the proposer will be advised of such request and prior to such release of information he will be requested expeditiously submit to the DOD Component a detailed listing of all information in his proposal which he believes to be exempt from disclosure under the Act. Such action and cooperation on the part

of the proposer will ensure that any information released by the DOD Component pursuant to the Act is properly determined.

6.8 Price/Cost Proposal

A fixed price or cost plus fixed fee Phase I proposal must be submitted in detail in the format shown in Appendix C. Some items of Appendix C may not apply to the proposed project. If such is the case, there is no need to provide information for each and every item. What matters is that enough information be provided to allow the DOD Component to understand how the proposer plans to use the requested funds if the contract is awarded. Both Phase I and II contracts may include a profit or fee.

Special Tooling and Test Equipment, Material and Travel

Special tooling and test equipment and material cost may be included under Phases I and II. The inclusion of equipment and material will be carefully reviewed relative to need and appropriateness for the work proposed.

The purchase of special tooling and test equipment must, in the opinion of the Contracting Officer, be advantageous to the Government and should be related directly to the specific topic. They may include such things as innovative instrumentation and/or automatic test equipment. Title to property furnished by the Government or acquired for the Government will be vested with the DOD Component, unless it is determined that transfer of title to the contractor would be more cost effective than recovery of the equipment by the DOD Component.

Cost for travel funds must be justified and related to the needs of the project.

Cost-Sharing

Cost-sharing is not permitted for proposals under this solicitation; however, cost-sharing is not required nor will it be an evaluation factor in consideration of a proposal.

6.9 Limitations

Restriction to Small Business

A small business must meet certain criteria to be eligible under this solicitation and certify to this on the Cover Sheet (Appendix A). See Section 2.2 for definition.

In addition, a minimum of two-thirds of each SBIR project must be carried out in the proposing firm and the primary employment of the principle investigator must be with the small business firm at the time of award and during the conduct of the proposed effort unless otherwise approved in writing by the contracting officer. Primary employment means that more than one-half of the principal investigator's time is spent with the small business.

6.10 Contractor Commitments

Upon award of a contract, the contractor will be required to make certain legal commitments through acceptance of government contract clauses in the Phase I contract. The outline that follows is illustrative of the types of provisions that will be included in the Phase I contract. This is not a complete list of provisions to be included in Phase I contracts, nor does it contain specific wording of these clauses. Copies of complete general provisions will be made available prior to award.

- (1) Standards of Work. Work performed under the contract must conform to high professional standards.
- (2) Inspection. Work performed under the contract is subject to Government inspection and evaluation at all reasonable times.
- (3) Examination of Records. The Comptroller General (or a duly authorized representative) shall have the right to examine any directly pertinent records of the contractor involving transactions related to this contract.

- (4) Default. The government may terminate the contract if the contractor fails to perform the work contracted.
- (5) Termination for Convenience. The contract may be terminated at any time by the Government if it deems termination to be in its best interest, in which case the contractor will be compensated for work performed and for reasonable termination costs.
- (6) Disputes. Any dispute concerning the contract which cannot be resolved by agreement shall be decided by the contracting officer with right of appeal.
- (7) Contract Work Hours. The contractors may not require an employee to work more than eight hours a day or forty hours a week unless the employee is compensated accordingly (that is, receives overtime pay)
- (8) Equal Opportunity. The contractor will not discriminate against any employee of applicant for employment because of race, color, religion, sex, or national origin
- (9) Affirmative Action for Veterans. The contractor will not discriminate against any employee or applicant for employment because he or she is a disabled veteran of the Vietnam era.
- (10) Affirmative Action for Handicapped. The contractor will not discriminate against any employee or applicant for employment because he or she is physically or mentally handicapped.
- (11) Officials Not to Benefit. No member of or delegate to Congress shall benefit from the contract.
- (12) Covenant Against Contingent Fees. No person or agency has been employed to solicit or secure the contract upon an understanding for compensation except bonafide employees or commercial agencies maintained by the contractor for the purpose of securing business.
- (13) Gratuities. The contract may be terminated by the Government if any gratuities have been offered to any representative of the Government to secure the contract.
- (14) Patent Infringement. The contractor shall report each notice or claim of patent infringement based on the performance of the contract.
- (15) Military Security Requirements. The Contractor shall safeguard any classified information associated with the contracted work in accordance with applicable regulations.

7.0 SUBMISSION OF PROPOSALS

7.1 Address

Proposals (10 copies) must be addressed to the DOD Component address provided at the beginning of each Component's section of this solicitation.

Handcarried proposals should be delivered to the mailing address indicated for each topic. Secure packaging is mandatory. The DID Component cannot be responsible for the processing of proposals damaged in transit.

Do not send separate "information" copies or several packages containing parts of the single proposal.

One copy must be an original signed by the principal investigator and an official empowered to commit the proposer. Other copies may be photocopied.

7.2 Deadline for Proposals

Deadline for receipt (10 copies) at the DOD Component is 4:00 p.m. EST, May 31, 1983. Any proposal received at the office designated in the solicitation after the exact time specified for receipt will not be considered unless it is received before award is made, and: (1) it was sent by registered or certified mail not later than May 24, 1983; or (2) it was sent by mail and it is determined by the Government that the late receipt was due solely to mishandling by the Government after receipt at the Government installation; or (3) it is the only proposal received; or (4) it offers significant cost or technical advantages to the Government, and it is received before a determination of the competitive range has been made.

Any modification of a proposal is subject to the same conditions outlined above. The only acceptable evidence to establish: (1) the date of mailing of a late proposal or modification sent either by registered mail or certified mail is the U.S. Postal Service. If neither postmark shows a legible date, the proposal or modification of proposal shall be deemed to have been mailed late. (The term "postmark" means a printed, stamped, or otherwise placed impression that is readily identifiable without further action as having been supplied and affixed on the date of mailing by employees of the U.S. Postal Service.); (2) the time of receipt at the Government installation is the time-date stamp of such installation on the proposal wrapper or other documentary evidence of receipt maintained by the installation. Notwithstanding the above, a late modification of an otherwise successful proposal which makes its terms more favorable to the Government will be considered at any time it is received and may be accepted. Proposals may be withdrawn in person by an offeror or his authorized representative, provided his identity is made known and he signs a receipt for the proposal prior to award. (NOTE: the term "telegram" includes mail grams.)

8.0 SCIENTIFIC AND TECHNICAL INFORMATION SOURCES

DOD Technical Information Services Available

Persons preparing SBIR Programs proposals to DOD, can strengthen them by contacting the Defense Technical Information Center (DTIC) for bibliographies of technical publications that have resulted from prior DOD R&D and for summaries of DID sponsored work currently in progress in their proposal areas.

DTIC is the central source of scientific and technical information resulting from and describing R&D projects that are wholly, or partially funded by DOD. Searches of these collections of technical reports and other materials are performed at no cost to the requesters. Paper or microfiche copies of requested documents are normally provided for a nominal service charge. However, such materials needed for SBIR Program proposal preparation are available at no cost.

In addition to its information retrieval and related services, DTIC manages a program of nine DOD-sponsored Information Analysis Centers (IACs). These centers provide informational and consultative services performed by specialists doing R&D in subject and mission areas assigned to the IACs. Information about these and other DOD-sponsored IACs is available from DTIC.

DTIC can also identify other sources of scientific and technical information needed to prepare SBIR Programs proposals to DOD. Contact DTIC at one of the following locations:

Defense Technical Information Center
ATTN: DTIC-DDR
Building 5, Cameron Station
Alexandria, VA 22314
(202) 274-7633

DTIC Boston On-Line Service Facility
AFGL Research Library/ SULL (Stop 29)
Building 1103, Hanscom AFB
Bedford, MA 01731
(617) 861-2413

DTIC Los Angeles On-Line Service Facility Defense Contract
Defense Contract Administration Services Region
11099 South La Cienega Blvd.
Los Angeles, CA 90045

Recognizing that small business may not have strong technical information service support, DTIC is prepared to give special attention to the needs of SBIR Program participants.

9.0 CONTACT WITH DOD

9.1 Oral Communications

Oral communications with DOD Components regarding this solicitation during the Phase I proposal preparation period are restricted for reasons of competitive fairness.

9.2 Questions Pertaining to This Solicitation

Any and all questions pertaining to this solicitation should be addressed in writing to the address listed at the beginning of each DOD Component listing of topics. No telephone request will be accepted.

9.3 Requests for Additional Copies of this Solicitation

Additional copies of this solicitation can be ordered by writing to the following addresses: Defense Technical Information Center, DTIC/DDR, ATTN: Reference Section, Cameron Station, Alexandria, Virginia 22314. Telephone requests will be accepted. Phone No. (202) 274-7633.

9.4 Information on Proposal Status

Evaluation of proposal and award of contracts will require approximately two months and no information on proposal status will be available until the final selection is made. However, contracting officers may contact any and all qualified proposers prior to contract award.

9.5 Release of Proposal Status

After final award decisions have been announced the technical evaluations of the proposer's proposal may be provided, to the proposer only, upon written request. The identity of the reviewer shall not be disclosed.

9.6 Correspondence Relating to Proposals

All correspondence relating to proposal should cite the specific topic number and be addressed to the DOD Component whose address is associated with each topic number.

10.0 ADDITIONAL INFORMATION

10.1

This program solicitation is intended for informational purposes and reflects current planning. If there is any inconsistency between the information contained herein and the terms of any resulting SBIR contract, the terms of the contract are controlling.

10.2

Before award of an SBIR contract, the Government may request the proposer to submit certain organizational, management, personnel, and financial information to assure responsibility to the proposer.

10.3

The Government is not responsible for any monies expended by the proposer before award of any contract.

10.4

This Program Solicitation is not an offer by the Government and does not obligate the Government to make any specific number of awards. Also, awards under this program are contingent upon the availability of funds.

10.5

The SBIR program is not a substitute for existing unsolicited proposal mechanisms. Unsolicited proposals shall not be accepted under the SBIR program in either Phase I or phase II.

10.6

If an award is made pursuant to a proposal submitted under this Program Solicitation, the contractor will be required to certify that he or she had not previously been, nor is currently being, paid for essentially equivalent work by any agency of the Federal Government.

10.7

If classified material is requested or classified work is proposed and involved, the Offeror to this solicitation must have security clearance in accordance with the Industrial Security Manual for Safeguarding Classified Information (DOD 5220.22M).